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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

PATENT

Attorney Docket No.: 17726A-000420US  
Client Ref. No.: 1988-209

On July 13, 2004

TOWNSEND and TOWNSEND and SZEW LEE

By: Stephanie J. Whitehurst

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

LEE *et al.*

Application No.: 10/028,726

Filed: December 21, 2001

For: PRODUCTS AND METHODS FOR  
CONTROLLING THE SUPPRESSION  
OF THE NEOPLASTIC PHENOTYPE

Customer No.: 20350

Confirmation No. 4418

Examiner: Wilson, Michael C.

Art Unit: 1632

PETITION UNDER 37 CFR 1.47(a)

Commissioner for  
Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 CFR § 1.47(a), Applicants hereby petition for filing of the Declaration for the above-identified patent application when a joint inventor refuses to join in an application for patent or cannot be found or reached after diligent effort. Proof of the pertinent facts are submitted in the attached Declaration in Support of Petition under 37 CFR § 1.476(a). The Declaration establishes that joint inventors Wen-Hwa Lee, Huei-Jen Su Huang and Eva Y.H.P. Lee refuse to join in the present application for patent after diligent effort.

07/20/2004 SZEWDIE1 00000048 201430 10028726

01 FC:1460

130.00 DA

Appl. No. 10/028,726  
Amdt. dated July 13, 2004  
Reply to Office Action of February 13, 2004

PATENT

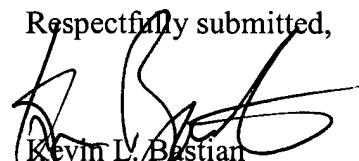
As shown in the attached evidence, the appropriate materials were received by the above three co-inventors by Federal Express at each of their places of current employment. Wen-Hwa Lee has indicated that he and his wife, Eva Y.H.P. Lee refuse to join in the application because they believe current inventorship is incorrect. Huei-Jen Su Huang has not responded despite diligent effort to contact her. The other two co-inventors, Theodore Friedmann and Jiing-Kuan Yee have executed the Declaration for Application (copy enclosed).

CONCLUSION

In view of the fact that Dr. Lee, Lee, and Huang refuse to join in the application for patent after diligent effort, Applicant requests that the above-identified application be filed on behalf of Dr. Friedmann and Yee and the nonsigning inventors in accordance with 37 CFR § 1.47(a).

Please charge \$130.00 for filing this petition to the Deposit Account 20-1430. The Commissioner is hereby authorized to charge any additional fees associated with this petition or credit any overpayment to the Deposit Account identified above.

Respectfully submitted,



Kevin L. Bastian  
Reg. No. 34,774

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: 415-576-0200  
Fax: 415-576-0300  
KLB:sjw  
60256290 v1



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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

PATENT  
Attorney Docket No.: 17726A-000420US  
Client Ref. No.: 1988-209

On July 13, 2004

TOWNSEND and TOWNSEND and CREW LLP

By: Stephanie J. Whitehurst

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

LEE *et al.*

Application No.: 10/028,726

Filed: December 21, 2001

For: PRODUCTS AND METHODS FOR  
CONTROLLING THE SUPPRESSION  
OF THE NEOPLASTIC PHENOTYPE

Customer No.: 20350

Confirmation No.: 4418

Examiner: Wilson, Michael C.

Art Unit: 1632

DECLARATION TO SUPPORT  
PETITION UNDER 37 CFR 1.47(a)

Commissioner for Patents  
MAIL STOP PETITION  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 CFR § 1.47(a), Applicant's attorney hereby provides proof of the pertinent facts to establish that joint inventors Wen-Hwa Lee, Huei-Jen Su Huang and Eva Y.H.P. Lee refuse to join in the present application for patent after diligent effort.

As explained below, the undersigned has attempted to obtain signed declaration from each of the above three co-inventors without success after diligent effort. Wen-Hwa Lee, and Eva Y.H.P. Lee have refused to join in the application because they believe inventorship is incorrect. Huei-Jen Su Huang has not responded to

diligent efforts to obtain an executed declaration. Efforts to obtain the appropriate documents from the above three co-inventors are shown by evidence submitted.

Specifically, the undersigned submits the following items:

Exhibit A: Photocopies of emails sent June 10, 2004 to each of the above three inventors attaching copies of the appropriate materials and asking each of them to return executed copies of the papers to the undersigned.

Exhibit B: Photocopies of email return receipts from Wen-Hwa Lee and Eva Y.H.P. Lee, however, we did not receive a confirmation for Huei-Jen Su Huang.

Exhibit C: A photocopy of the letter sent June 24 to each of the above three inventors enclosing copies of the appropriate materials and asking each of them to return executed copies of the papers to the undersigned.

Exhibit D: A photocopy of the Federal Express confirmation receipt indicating receipt of the June 24 letter on June 25, 2004 and July 9, 2004.

On June 16, 2004 Dr. Wen-Hwa Lee was contacted by telephone regarding the materials provided to him by email and Federal Express. He indicated that he had been out of the country had just looked at the papers. He stated that he and his wife, Eva Lee, did not believe that Drs. Friedmann and Yee were inventors on the claimed invention. He was not certain that he and his wife would sign the declaration for patent included in the package provided.

On June 28, 2004, the undersigned contacted Dr. Lee again. He expressed the same misgivings.

On June 22, 2004, the undersigned attempted to contact Dr. Huang at the Ludwig Institute for Cancer Research. The voicemail indicated that it was Dr. Huang's office. I left a message asking Dr. Huang to please return the signed documents to me or to contact me if she had any questions.


As of today's date, no further communications from Drs. Lee or Huang have been received.

Appl. No. 10/028,726  
Amdt. dated July 13, 2004  
Reply to Office Action of February 13, 2004

PATENT

In view of the fact that Wen-Hwa Lee, Huei-Jen Su Huang, and Eva H.Y.P. Lee refuse to join in the application for patent or cannot be reached after diligent effort, the undersigned requests that the above-identified application be filed on behalf of Drs. Friedmann, Yee and the non-signing co-inventors in accordance with 37 CFR § 1.47(a).

Respectfully submitted,



Kevin L. Bastian  
Reg. No. 34,774

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: 415-576-0200  
Fax: 415-576-0300  
KLB:sjw  
60256315 v1

**Whitehurst, Stephanie J.**

---

**From:** Whitehurst, Stephanie J.  
**Sent:** Thursday, June 10, 2004 5:54 PM  
**To:** 'whlee@uci.edu'  
**Subject:** FW: URGENT!! - Substitute Declaration  
**Importance:** High

Retransmitting this message.

Stephanie  
273-7576

-----Original Message-----

**From:** Whitehurst, Stephanie J.  
**Sent:** Thursday, June 10, 2004 5:46 PM  
**To:** 'whl-lab@uci.edu'; 'elee@uci.edu'; 'hhuang@ucsd.edu'  
**Cc:** Bastian, Kevin L.  
**Subject:** URGENT!! - Substitute Declaration  
**Importance:** High

Re: U.S. Patent Application No. 10/028,726  
For: Products and Methods for Controlling the Suppression of the Neoplastic Phenotype  
Filed: December 21, 2001  
Our Reference: 17726A-000420US

Dear Doctors,

Please accept my apologies for the late transmission of these documents. Attached for signature is a Substitute Declaration with a supplemental Application Data Sheet for execution. Please review the Application Data Sheet for correct biographical information. If a change is required, please cross out the incorrect information and substitute correct information and initial change. You will note, this substitute declaration incorporates the additional inventors, Drs. Friedmann and Yee. We would request that you execute and date the Declaration and return it to us by facsimile tomorrow, June 11, 2004 or no later than Monday, June 14, 2004 to incorporate with our response to the latest Office Action which is due Monday, June 14, 2004. The fax number for transmission is 415-576-0300. The originals can be returned to us by regular mail. If you have any questions regarding this Declaration, please contact Kevin Bastian at 415-273-4758. Once again, I apologize for any inconvenience this may have caused, and appreciate your taking the time to expedite these documents.

Sincerely,  
Stephanie J. Whitehurst

Stephanie J. Whitehurst  
Assistant to Kevin Bastian and Brigitte Hajos  
Townsend and Townsend and Crew LLP  
Two Embarcadero Center, 8th Floor  
San Francisco, CA 94111  
Direct: 415-273-7576  
Phone: 415-576-0200  
FAX: 415-576-0300  
sjwhitehurst@townsend.com

[www.townsend.com](http://www.townsend.com)

6/10/2004

- Townsend, one of 15 firms in the nation honored by *The American Lawyer* as its Overall "Litigation Department of the Year" contest for 2003. [Click here for more information](#)

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**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN  
APPLICATION DATA SHEET (37 CFR 1.76)**

<b>Title of Invention</b>	<b>PRODUCTS AND METHODS FOR CONTROLLING THE SUPPRESSION OF THE NEOPLASTIC PHENOTYPE</b>
<p>As the below named inventor(s), I/we declare that:</p> <p>This declaration is directed to:</p> <p><input type="checkbox"/> The attached application, or</p> <p><input checked="" type="checkbox"/> Application No. 10/028,726, filed on December 21, 2001,</p> <p><input type="checkbox"/> as amended on _____ (if applicable);</p> <p>I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;</p> <p>I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;</p> <p>I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.</p> <p>All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.</p>	

<b>FULL NAME OF INVENTOR(S)</b>			
Inventor 1	<u>Wen-Hwa Lee, Ph.D.</u>	Date:	_____
Signature:	_____	Citizen of:	<u>Peoples Republic of China</u>
<hr/>			
Inventor 2	<u>Huei-Jen Su Huang</u>	Date:	_____
Signature:	_____	Citizen of:	<u>Peoples Republic of China</u>
<hr/>			
Inventor 3	<u>Eva Y.H.P. Lee</u>	Date:	_____
Signature:	_____	Citizen of:	<u>Peoples Republic of China</u>
<hr/>			
<input checked="" type="checkbox"/> Additional inventors are being named on _____ additional form(s) attached hereto.			

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76) –  
ADDITIONAL INVENTOR(S)  
Supplemental Sheet  
(Total of 1 forms are submitted.)**

FULL NAME OF INVENTOR(S)			
Inventor 4:	Theodore Friedmann	Date:	
Signature:		Citizen of:	United States
Inventor 4:	Jiing-Kuan Yee	Date:	
Signature:		Citizen of:	United States
Inventor 5:		Date:	
Signature:		Citizen of:	
Inventor 6:		Date:	
Signature:		Citizen of:	
Inventor 7:		Date:	
Signature:		Citizen of:	

**ASSIGNMENT**U.C. Case No. 1988-209

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- |                          |                              |
|--------------------------|------------------------------|
| 1. <u>Wen-Hwa Lee</u>    | 2. <u>Huei-Jen Su</u>        |
| 3. <u>Eva Y.H.P. Lee</u> | 4. <u>Theodore Friedmann</u> |
| 5. <u>Jiing-Kuan Yee</u> |                              |

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin St., 12<sup>th</sup> Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

**PRODUCTS AND METHODS FOR CONTROLLING THE SUPPRESSION OF NEOPLASTIC PHENOTYPE**

and which is found in

U.S. nonprovisional application serial no. 10/028,726, filed on December 21, 2001

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

\_\_\_\_ day of \_\_\_\_\_, 2004

\_\_\_\_\_  
Wen-Hwa Lee

\_\_\_\_ day of \_\_\_\_\_, 2004

\_\_\_\_\_  
Huei-Jen Su

\_\_\_\_ day of \_\_\_\_\_, 2004

\_\_\_\_\_  
Eva Y.H.P. Lee

\_\_\_\_ day of \_\_\_\_\_, 2004

\_\_\_\_\_  
Theodore Friedmann

\_\_\_\_ day of \_\_\_\_\_, 2004

\_\_\_\_\_  
Jiing-Kuan Yee

**Whitehurst, Stephanie J.**

---

**From:** Mail Delivery Subsystem [MAILER-DAEMON@mta2.service.uci.edu]  
**Sent:** Thursday, June 10, 2004 5:54 PM  
**To:** Whitehurst, Stephanie J.  
**Subject:** Return receipt



ATT300709.txt (317 B)    ATT300710.txt (1 KB)

The original message was received at Thu, 10 Jun 2004 17:52:37 -  
0700 (PDT)  
from sf.townsend.com [63.251.57.2]

----- The following addresses had successful delivery notifications -----  
<whlee@uci.edu> (relayed to non-DSN-aware mailer)

----- Transcript of session follows -----  
<whlee@uci.edu>... relayed; expect no further notifications

Whitehurst, Stephanie J.

---

**From:** Mail Delivery Subsystem [MAILER-DAEMON@mta6.service.uci.edu]  
**Sent:** Thursday, June 10, 2004 5:46 PM  
**To:** Whitehurst, Stephanie J.  
**Subject:** Return receipt



ATT300663.txt (476 B)    ATT300664.txt (1 KB)

The original message was received at Thu, 10 Jun 2004 17:45:00 - 0700 (PDT)  
from sf.townsend.com [63.251.57.2]

----- The following addresses had successful delivery notifications -----  
<whl-lab@uci.edu> (relayed to non-DSN-aware mailer)  
<elee@uci.edu> (relayed to non-DSN-aware mailer)

----- Transcript of session follows -----  
<elee@uci.edu>... relayed; expect no further notifications  
<whl-lab@uci.edu>... relayed; expect no further notifications

**TOWNSEND**  
*and*  
**TOWNSEND**  
*and*  
**CREW**

LLP

Palo Alto, California  
Tel 650 326-2400

Walnut Creek, California  
Tel 925 472-5000

San Diego, California  
Tel 858-350-6100

Denver, Colorado  
Tel 303 571-4000

Seattle, Washington  
Tel 206 467-9600

**San Francisco**

Two Embarcadero Center  
8th Floor  
San Francisco  
California 94111-3834  
Tel 415 576-0200  
Fax 415 576-0300

Direct: (415) 273-4758  
kib@townsend.com

June 24, 2004

**VIA FEDEX**

Wen-Hwa Lee, Ph.D.  
University of California, Irvine  
Department of Biological Chemistry  
111 Sprague Hall  
15355 Lambda Hall Drive  
MC 4037  
Irvine, CA 92697

Huei-Jen Su Huang  
University of California, San Diego  
Ludwig Institute for Cancer Research  
9500 Gilman Drive  
MC 0660  
La Jolla, CA 92093

Eva Y.H.P. Lee  
University of California, Irvine  
Department of Biological Chemistry  
122 Sprague Hall  
15355 Lambda Hall Drive  
MC 4037  
Irvine, CA 92697-4037

Re: US Patent Application No. 10/028,726  
For: Products and Methods for Controlling the Suppression of the Neoplastic Phenotype  
Inventors: Wen-Hwa Lee, Ph.D., et al.  
Filed: December 21, 2001  
Client Reference No.: 1988-209  
Our File No.: 17726A-000420US

Dear Doctors,

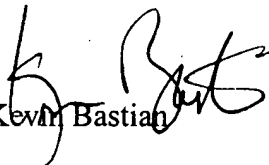
Further to our e-mail of June 10, 2004, enclosed for signature is a Substitute Declaration with Application Data Sheet and Assignment documents which incorporate Drs. Friedmann and Yee as co-inventors on this application. Please review the Application Data Sheet for correct biographical information such as address and citizenship. You may make any necessary changes to your biographical information in ink and initial each change.

We appreciate your taking the time to execute these documents as expeditiously as possible and returning them to our office on or about **July 8, 2004** for filing in the USPTO which

will complete the formalities of the application. For your convenience, we have enclosed a return, pre-address Federal Express envelope.

If you have any questions, please feel free to contact me at (415) 273-4758.

Sincerely,

  
Kevin Bastian

KLB/sjw

Enclosures

cc: Patricia Cotton, Ph.D. (w/o Encls.)

60247256 v1

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN  
APPLICATION DATA SHEET (37 CFR 1.76)**

<b>Title of Invention</b>	<b>PRODUCTS AND METHODS FOR CONTROLLING THE SUPPRESSION OF THE NEOPLASTIC PHENOTYPE</b>
---------------------------	---

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
- ☒ Application No. 10/028,726, filed on December 21, 2001,
- ☐ as amended on \_\_\_\_\_ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**

Inventor 1	<u>Wen-Hwa Lee, Ph.D.</u>	Date:	_____
------------	---------------------------	-------	-------

Signature:	_____	Citizen of:	<u>Peoples Republic of China</u>
------------	-------	-------------	--------------------------------------

Inventor 2	<u>Huei-Jen Su Huang</u>	Date:	_____
------------	--------------------------	-------	-------

Signature:	_____	Citizen of:	<u>Peoples Republic of China</u>
------------	-------	-------------	--------------------------------------

Inventor 3	<u>Eva Y.H.P. Lee</u>	Date:	_____
------------	-----------------------	-------	-------

Signature:	_____	Citizen of:	<u>Peoples Republic of China</u>
------------	-------	-------------	--------------------------------------

☒ Additional inventors are being named on \_\_\_\_\_ additional form(s) attached hereto.



**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76) –  
ADDITIONAL INVENTOR(S)  
Supplemental Sheet  
(Total of 1 forms are submitted.)**

FULL NAME OF INVENTOR(S)			
Inventor 4:	Theodore Friedmann	Date:	
Signature:		Citizen of:	United States
Inventor 4:	Jiing-Kuan Yee	Date:	
Signature:		Citizen of:	United States
Inventor 5:		Date:	
Signature:		Citizen of:	
Inventor 6:		Date:	
Signature:		Citizen of:	
Inventor 7:		Date:	
Signature:		Citizen of:	

**ASSIGNMENT**U.C. Case No. 1988-209

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- |                          |                              |
|--------------------------|------------------------------|
| 1. <u>Wen-Hwa Lee</u>    | 2. <u>Huei-Jen Su</u>        |
| 3. <u>Eva Y.H.P. Lee</u> | 4. <u>Theodore Friedmann</u> |
| 5. <u>Jiing-Kuan Yee</u> |                              |

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin St., 12<sup>th</sup> Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

**PRODUCTS AND METHODS FOR CONTROLLING THE SUPPRESSION OF NEOPLASTIC PHENOTYPE**

and which is found in

U.S. nonprovisional application serial no. 10/028,726, filed on December 21, 2001

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

\_\_\_\_ day of \_\_\_\_\_, 2004

\_\_\_\_\_  
Wen-Hwa Lee

\_\_\_\_ day of \_\_\_\_\_, 2004

\_\_\_\_\_  
Huei-Jen Su

\_\_\_\_ day of \_\_\_\_\_, 2004

\_\_\_\_\_  
Eva Y.H.P. Lee

\_\_\_\_ day of \_\_\_\_\_, 2004

\_\_\_\_\_  
Theodore Friedmann

\_\_\_\_ day of \_\_\_\_\_, 2004

\_\_\_\_\_  
Jiing-Kuan Yee

From: Origin ID: (415)576-0200  
Stephanie Whitehurst  
Townsend and Townsend and Crew LLP  
Two Embarcadero Center  
8th Floor  
San Francisco, CA 94111



Ship Date: 24JUN04  
Actual Wgt: 1 LB  
System#: 2984924/INET1850  
Account#: S \*\*\*\*\*

REF: 17726A-000420US



Delivery Address Bar Code

SHIP TO: (949)824-4492 BILL SENDER  
**Wen-Hwa Lee**  
University of California, Irvine  
111 Sprague Hall  
15355 Lambada Hall Drl, MC 4037  
Irvine, CA 92697

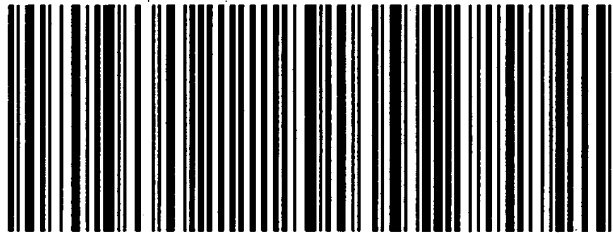
**STANDARD OVERNIGHT****FRI**Deliver By:  
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TRK# 7918 7398 4811

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92697 -CA-US

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From: Origin ID: (415)576-0200  
Stephanie Whitehurst  
Townsend and Townsend and Crew LLP  
Two Embarcadero Center  
8th Floor  
San Francisco, CA 94111



Ship Date: 24JUN04  
Actual Wgt: 1 LB  
System#: 2984924/INET1850  
Account#: S \*\*\*\*\*

REF: 17726A-000420US



Delivery Address Bar Code

SHIP TO: (949)824-9766

BILL SENDER

Eva Y.H.P. Lee  
University of California, Irvine  
122 Sprague Hall  
15355 Lambada Hall DrI, MC 4037  
Irvine, CA 92697

STANDARD OVERNIGHT

FRI

Deliver By:  
25JUN04

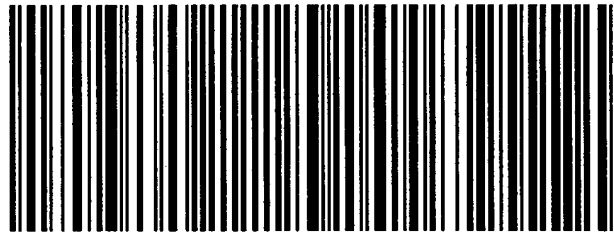
TRK# 7912 8019 6944

FORM  
0201

LGB A2

92697 -CA-US

WZ APVA

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Place label in shipping label pouch and affix it to your shipment so that the barcode portion of the label can be read and scanned.

**Warning: Use only the printed original label for shipping. Using a photocopy of this label for shipping purposes is fraudulent and could result in additional billing charges, along with the cancellation of your FedEx account number.**

Use of this system constitutes your agreement to the service conditions in the current FedEx Service Guide, available on fedex.com. FedEx will not be responsible for any claim in excess of \$100 per package, whether the result of loss, damage, delay, non-delivery, misdelivery, or misinformation, unless you declare a higher value, pay an additional charge, document your actual loss and file a timely claim. Limitations found in the current FedEx Service Guide apply. Your right to recover from FedEx for any loss, including intrinsic value of the package, loss of sales, income interest, profit, attorney's fees, costs, and other forms of damage whether direct, incidental, consequential, or special is limited to the greater of \$100 or the authorized declared value. Recovery cannot exceed actual documented loss. Maximum for items of extraordinary value is \$500, e.g. jewelry, precious metals, negotiable instruments and other items listed in our Service Guide. Written claims must be filed within strict time limits, see current FedEx Service Guide.

From: Origin ID: (415)576-0200  
Stephanie Whitehurst  
Townsend and Townsend and Crew LLP  
Two Embarcadero Center  
8th Floor  
San Francisco, CA 94111



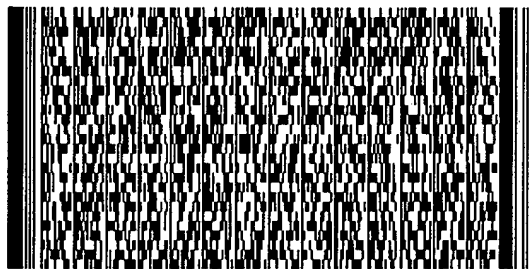
Ship Date: 24JUN04  
Actual Wgt: 1 LB  
System#: 2984924/INET1850  
Account#: S \*\*\*\*\*

REF: 17726A-000420US



Delivery Address Bar Code

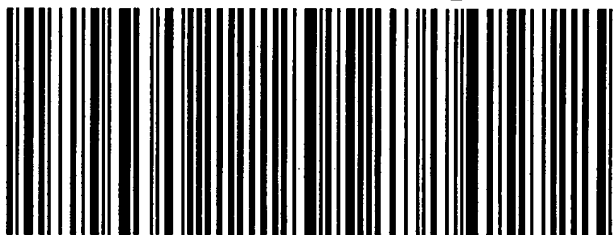
SHIP TO: (858)534-7814 **BILL SENDER**  
**Huei-Jen Su Huang**  
**University of California, San Diego**  
**Ludwig Institute for Cancer Res.**  
**9500 Gilman Drive, MC 0660**  
**La Jolla, CA 92093**

**STANDARD OVERNIGHT****FRI**Deliver By:  
25JUN04

TRK# 7920 3041 0792

FORM  
0201**SAN A1**

92093 -CA-US

**WX SANA**[View all labels](#)

Place label in shipping label pouch and affix it to your shipment so that the barcode portion of the label can be read and scanned.

**Warning: Use only the printed original label for shipping. Using a photocopy of this label for shipping purposes is fraudulent and could result in additional billing charges, along with the cancellation of your FedEx account number.**

Use of this system constitutes your agreement to the service conditions in the current FedEx Service Guide, available on [fedex.com](http://fedex.com). FedEx will not be responsible for any claim in excess of \$100 per package, whether the result of loss, damage, delay, non-delivery, misdelivery, or misinformation, unless you declare a higher value, pay an additional charge, document your actual loss and file a timely claim. Limitations found in the current FedEx Service Guide apply. Your right to recover from FedEx for any loss, including intrinsic value of the package, loss of sales, income interest, profit, attorney's fees, costs, and other forms of damage whether direct, incidental, consequential, or special is limited to the greater of \$100 or the authorized declared value. Recovery cannot exceed actual documented loss. Maximum for items of extraordinary value is \$500, e.g. jewelry, precious metals, negotiable instruments and other items listed in our Service Guide. Written claims must be filed within strict time limits, see current FedEx Service Guide.

[Close Window](#)Track Shipments  
Summary Results

Print

## Single piece shipments

Tracking number	Status	Date/Time	Destination	Service type
791280196944	Delivered	Jun 25, 2004 12:57 pm	IRVINE CA	FedEx Express
791873984811	Delivered	Jun 25, 2004 12:57 pm	IRVINE CA	FedEx Express
792030410792	Package status	Jul 7, 2004 7:24 pm	SAN DIEGO CA	FedEx Express

[Track more shipments](#)[Close Window](#)

[Close Window](#)Track Shipments  
Detailed Results

Print

Tracking number 792030410792  
Ship date Jun 24, 2004Reference number 17726A-000420US  
Delivery location SAN DIEGO CA  
Service type Standard Envelope

Date/Time	Status	Location	Comments
Jul 7, 2004 7:24 pm	Package status	SAN DIEGO CA	Package in FedEx location
Jul 6, 2004 7:48 pm	Package status	SAN DIEGO CA	Package in FedEx location
Jul 3, 2004 2:32 pm	Package status	SAN DIEGO CA	Package in FedEx location
Jul 2, 2004 8:14 pm	Package status	SAN DIEGO CA	Package in FedEx location
	12:26 pm	SAN DIEGO CA	Pkg returned to shipper
Jun 30, 2004 1:46 pm	Package status	SAN DIEGO CA	Package in FedEx location
Jun 29, 2004 12:18 pm	Package status	SAN DIEGO CA	Package in FedEx location
Jun 28, 2004 1:37 pm	Package status	SAN DIEGO CA	Package in FedEx location
Jun 26, 2004 1:08 pm	Package status	SAN DIEGO CA	Package in FedEx location
Jun 25, 2004 7:37 pm	Package status	SAN DIEGO CA	Package in FedEx location
	12:15 pm	SAN DIEGO CA	Delivery attempt
	8:19 am	SAN DIEGO CA	On FedEx vehicle for delivery
	7:36 am	SAN DIEGO CA	Arrived at FedEx Destination Location

[Track more shipments](#)

## Email your detailed tracking results (optional)

Enter your email, submit up to three email addresses (separated by commas), add your message (optional), and click **Send email**.From   
To 

Add a message to this email.

[Send email](#)[Close Window](#)

FedEx Express  
Customer Support  
Domestic Trace  
3875 Airways Boulevard  
Module H, 4th Floor  
Memphis, TN 38116

U.S. Mail: PO Box 727  
Memphis, TN 38194-4643

Telephone 901-389-3800



July 13, 2004

STEPHANIE WHITEHURST  
(415) 576-0300

Dear STEPHANIE WHITEHURST:

Our records reflect the following delivery information for the shipment with the tracking number 792030410792.

Delivery Information:

Signed For By: A.VANREDEL

A handwritten signature in black ink, appearing to read "A. Vanredel", followed by a vertical line.

Delivered to: 9500 GILMAN CMME 3080

Delivery Date: July 09, 2004

Delivery Time: 04:00 PM

Shipping Information:

Shipment Reference Information: 17726A-000420US

Tracking No: 792030410792

Ship Date: June 24, 2004

Shipper: STEPHANIE WHITEHURST  
TOWNSEND & TOWNSEND &  
CREW  
2 EMBARCADERO CTR FL 8  
8TH FLOOR  
SAN FRANCISCO, CA  
941113833  
US

Recipient: HUEI-JEN SU HUANG  
UNIVERSITY OF CALIFORNIA,  
SAN  
LUDWIG INSTITUTE FOR  
CANC  
9500 GILMAN DRIVE, MC 0660  
SAN DIEGO, CA 92093  
US

Thank you for choosing FedEx Express. We look forward to working with you in the future.

FedEx Worldwide Customer Service  
1-800-Go-FedEx (1-800-463-3339)  
Reference No: 0713025686

This Information is provided subject to the FedEx Service Guide.





Close Window

Track Shipments  
Detailed Results

Print

Tracking number	791280196944	Reference number	17726A-000420US
Signed for by	J PARELHERE	Delivered to	Receipt/Frnt desk
Ship date	Jun 24, 2004	Delivery location	IRVINE CA
Delivery date/Time	Jun 25, 2004 12:57 pm	Service type	Standard Envelope

Date/Time	Status	Location	Comments
Jun 25, 2004	12:57 pm Delivered	IRVINE CA	Delivered to address other than recipient
	12:57 pm Delivered	IRVINE CA	Delivered to address other than recipient
	12:57 pm Delivery attempt	IRVINE CA	Customer not available or Business closed
	12:42 pm On FedEx vehicle for delivery	IRVINE CA	
	8:41 am On FedEx vehicle for delivery	IRVINE CA	
	7:39 am Arrived at FedEx Destination Location	IRVINE CA	
	4:06 am Arrived at Sort Facility	LOS ANGELES CA	
	3:49 am Arrived at Sort Facility	OAKLAND CA	
	3:13 am Left FedEx Sort Facility	OAKLAND CA	
Jun 24, 2004	9:56 pm Arrived at Sort Facility	OAKLAND CA	
	7:31 pm Left FedEx Origin Location	SAN FRANCISCO CA	
	5:08 pm Pickup status	SAN FRANCISCO CA	Pre-routed meter pkg picked up

[Track more shipments](#)

Email your detailed tracking results (optional)

Enter your email, submit up to three email addresses (separated by commas), add your message (optional), and click **Send email**.

From

To

Add a message to this email.

[Send email](#)

Close Window



Close Window

Track Shipments  
Detailed Results

Print

Tracking number	791873984811	Reference number	17726A-000420US
Signed for by	J PARELHERE	Delivered to	Receipt/Fmt desk
Ship date	Jun 24, 2004	Delivery location	IRVINE CA
Delivery date/Time	Jun 25, 2004 12:57 pm	Service type	Standard Envelope

Date/Time	Status	Location	Comments
Jun 25, 2004	12:57 pm Delivered	IRVINE CA	Delivered to address other than recipient
	12:57 pm Delivered	IRVINE CA	Delivered to address other than recipient
	12:57 pm Delivery attempt	IRVINE CA	Customer not available or Business closed
	12:42 pm On FedEx vehicle for delivery	IRVINE CA	
	8:41 am On FedEx vehicle for delivery	IRVINE CA	
	7:40 am Arrived at FedEx Destination Location	IRVINE CA	
	4:06 am Arrived at Sort Facility	LOS ANGELES CA	
	3:49 am Arrived at Sort Facility	OAKLAND CA	
	3:13 am Left FedEx Sort Facility	OAKLAND CA	
Jun 24, 2004	9:56 pm Arrived at Sort Facility	OAKLAND CA	
	7:31 pm Left FedEx Origin Location	SAN FRANCISCO CA	
	5:08 pm Pickup status	SAN FRANCISCO CA	Pre-routed meter pkg picked up

[Track more shipments](#)

## Email your detailed tracking results (optional)

Enter your email, submit up to three email addresses (separated by commas), add your message (optional), and click **Send email**.

From   
To

Add a message to this email.

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PATENT  
Attorney Docket No.: 17726A-000420US  
Client Ref. No. 1988-209

Assistant Commissioner for Patents  
Washington, D.C. 20231

On July 13, 2004

TOWNSEND and TOWNSEND and CREW LLP

By: Stephanie J. Whitehurst

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

LEE *et al.*

Application No.: 10/028,726

Filed: December 21, 2001

For: PRODUCTS AND METHODS FOR  
CONTROLLING THE SUPPRESSION  
OF THE NEOPLASTIC PHENOTYPE

Customer No.: 20350

Confirmation No. 4418

Examiner: Wilson, Michael C.

Art Unit: 1632

PETITION TO CORRECT  
INVENTORSHIP

Commissioner for  
Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants respectfully petition under 37 C.F.R. §1.48 to add Theodore Friedmann and Jiing-Kuan Yee as inventors to the above-identified patent application.

As required, the following documents are submitted herewith:

1. Two separate Statements from inventors being added, Theodore Friedmann and Jiing-Kuan Yee stating that it was through error without deceptive intent that they were not named as inventors in the above-identified application;
2. Substitute Declaration
3. Supplemental Application Data Sheet;
4. Power of Attorney or Authorization of Agent; and

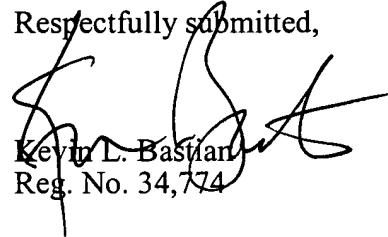
07/20/2004 SZEWDIE1 00000048 201430 10028726

02 FC:1460 130.00 DA

5. Statement Under 37 CFR §3.73(b) w/copy of Assignment.

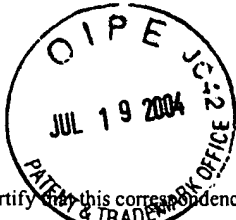
Please deduct the petition fee of \$130, pursuant to 37 CFR §1.17(i), from Deposit Account No. 20-1430 of the undersigned. Please charge any additional fees or credit overpayment to the above Deposit Account.

Respectfully submitted,



Kevin L. Bastian  
Reg. No. 34,774

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: 415-576-0200  
Fax: 415-576-0300  
KLB:sjw  
60194938 v1



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PATENT  
Attorney Docket No.: 17726A-000420US

Assistant Commissioner for Patents  
Washington, D.C. 20231

On July 13 2004

TOWNSEND and TOWNSEND and CREW LLP

By: [Signature]

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

LEE *et al.*

Application No.: 10/028,726

Filed: December 21, 2001

For: PRODUCTS AND METHODS FOR  
CONTROLLING THE SUPPRESSION  
OF THE NEOPLASTIC PHENOTYPE

Examiner: Wilson, Michael C.

Art Unit: 1633

STATEMENT OF JIING-KUAN YEE

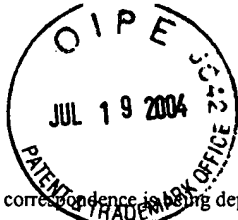
Commissioner for  
Box 1450  
Alexandria, VA 22313-1450

Sir:

I, Jiing-Kuan Yee, state that it was through error without deceptive intent on my part that I was not named as an inventor in the above-referenced patent application.

Dated: X 5-10-04

By: X [Signature]  
Jiing-Kuan Yee



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

PATENT  
Attorney Docket No.: 17726A-000420US

Assistant Commissioner for Patents  
Washington, D.C. 20231

On July 13 2004

TOWNSEND and TOWNSEND and CREW LLP

By: [Signature]

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

LEE *et al.*

Application No.: 10/028,726

Filed: December 21, 2001

For: PRODUCTS AND METHODS FOR  
CONTROLLING THE SUPPRESSION  
OF THE NEOPLASTIC PHENOTYPE

Examiner: Wilson, Michael C.

Art Unit: 1633

STATEMENT OF THEODORE  
FRIEDMANN

Commissioner for  
Box 1450  
Alexandria, VA 22313-1450

Sir:

I, Theodore Friedman, state that it was through error without deceptive intent on my part that I was not named as an inventor in the above-referenced patent application.

Dated: 10 May 2004

By: x [Signature]  
Theodore Friedmann



Attorney Document No.: 1730  
Client Ref. No.: 26A-000420US

PTO/SB/01A (08-03)

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN  
APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of Invention**

**PRODUCTS AND METHODS FOR CONTROLLING THE SUPPRESSION OF  
THE NEOPLASTIC PHENOTYPE**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
- ☒ Application No. 10/028,726, filed on December 21, 2001,
- ☐ as amended on \_\_\_\_\_ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**

Inventor 1 Wen-Hwa Lee, Ph.D. Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Citizen of: Peoples Republic of China

Inventor 2 Huei-Jen Su Huang Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Citizen of: Peoples Republic of China

Inventor 3 Eva Y.H.P. Lee Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Citizen of: Peoples Republic of China

☒ Additional inventors are being named on additional form(s) attached hereto.

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76) –  
ADDITIONAL INVENTOR(S)  
Supplemental Sheet  
(Total of 1 forms are submitted.)**

FULL NAME OF INVENTOR(S)			
Inventor 4:	Theodore Friedmann	Date:	x 10 May 2004
Signature:	x <i>T. Friedmann</i>	Citizen of:	United States
Inventor 4:	Jiing-Kuan Yee	Date:	
Signature:		Citizen of:	United States
Inventor 5:		Date:	
Signature:		Citizen of:	
Inventor 6:		Date:	
Signature:		Citizen of:	
Inventor 7:		Date:	
Signature:		Citizen of:	



**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN  
APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of Invention**

**PRODUCTS AND METHODS FOR CONTROLLING THE SUPPRESSION OF  
THE NEOPLASTIC PHENOTYPE**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or  
☒ Application No. 10/028,726, filed on December 21, 2001,  
☐ as amended on \_\_\_\_\_ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**

Inventor 1 Wen-Hwa Lee, Ph.D. Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Citizen of: Peoples Republic of China

Inventor 2 Huei-Jen Su Huang Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Citizen of: Peoples Republic of China

Inventor 3 Eva Y.H.P. Lee Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Citizen of: Peoples Republic of China

☒ Additional inventors are being named on additional form(s) attached hereto.

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76) –  
ADDITIONAL INVENTOR(S)  
Supplemental Sheet  
(Total of 1 forms are submitted.)**

FULL NAME OF INVENTOR(S)			
Inventor 4:	Theodore Friedmann	Date:	
Signature:		Citizen of:	United States
Inventor 4:	Jiing-Kuan Yee	Date:	x 5-10-04
Signature:	x <i>Jiing Kuan Yee</i>	Citizen of:	United States
Inventor 5:		Date:	
Signature:		Citizen of:	
Inventor 6:		Date:	
Signature:		Citizen of:	
Inventor 7:		Date:	
Signature:		Citizen of:	



## **Application Data Sheet**

### **Application Information**

Application number::	10/028,726
Filing Date::	12/21/01
Application Type::	Regular
Subject Matter::	Utility
Suggested classification::	
Suggested Group Art Unit::	1632
CD-ROM or CD-R??:	
Number of CD disks::	
Number of copies of CDs::	
Sequence Submission::	February 20, 2003 and November 17/ 2003
Computer Readable Form (CRF)?:	
Number of copies of CRF::	
Title::	Products and Methods for Controlling the Suppression of the Neoplastic Phenotype
Attorney Docket Number::	17726A-000420US
Request for Early Publication::	No
Request for Non-Publication::	No
Suggested Drawing Figure::	7
Total Drawing Sheets::	7
Small Entity?::	Yes
Latin name::	
Variety denomination name::	
Petition included?::	Yes
Petition Type::	Petition to Correct Inventorship
Licensed US Govt. Agency::	
Contract or Grant Numbers One::	
Secrecy Order in Parent Appl.::	No

### **Applicant Information**

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: Peoples Republic of China  
Status:: Full Capacity  
Given Name:: Wen-Hwa  
Middle Name::  
Family Name:: Lee  
Name Suffix:: Ph.D.  
City of Residence:: Newport Coast  
State or Province of Residence:: CA  
Country of Residence:: US  
Street of Mailing Address:: 28 Via Diamante  
City of Mailing Address:: Newport Coast  
State or Province of mailing address:: CA  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 92657

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: Peoples Republic of China  
Status:: Full Capacity  
Given Name:: Huei-Jen Sue  
Middle Name::  
Family Name:: Huang  
Name Suffix::  
City of Residence:: Rancho Santa Fe  
State or Province of Residence:: CA  
Country of Residence:: US  
Street of Mailing Address:: P.O. Box 247  
City of Mailing Address:: Rancho Santa Fe  
State or Province of mailing address:: CA

Country of mailing address:: US  
Postal or Zip Code of mailing address:: 92067

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: Peoples Republic of China  
Status:: Full Capacity  
Given Name:: Eva  
Middle Name:: Y.H.P.  
Family Name:: Lee  
Name Suffix::  
City of Residence:: Newport Coast  
State or Province of Residence:: CA  
Country of Residence:: US  
Street of Mailing Address:: 28 Via Diamante  
City of Mailing Address:: Newport Cost  
State or Province of mailing address:: CA  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 92657

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: US  
Status:: Full Capacity  
Given Name:: Theodore  
Middle Name::  
Family Name:: Friedmann  
Name Suffix::  
City of Residence:: La Jolla  
State or Province of Residence:: CA  
Country of Residence:: US  
Street of Mailing Address:: 9470 La Jolla Shores Drive  
City of Mailing Address:: La Jolla

State or Province of mailing address:: CA  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 92037

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: US  
Status:: Full Capacity  
Given Name:: Jiing-Kuan  
Middle Name::  
Family Name:: Yee  
Name Suffix::  
City of Residence:: Arcadia  
State or Province of Residence:: CA  
Country of Residence:: US  
Street of Mailing Address:: 629 Gloria Road  
City of Mailing Address:: Arcadia  
State or Province of mailing address:: CA  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 91006

#### **Correspondence Information**

Correspondence Customer Number:: 20350

#### **Representative Information**

Representative Customer Number:: 20350

**Domestic Priority Information**

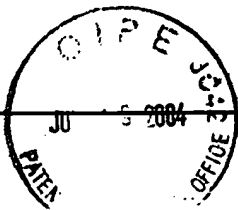
Application::	Continuity Type::	Application::	Filing Date::
This application	Continuation	08/472,760	06/07/95
08/472,760	CIP	08/276,041	07/14/94
08/276,041	Continuation	07/764,714	09/24/91
07/764,714	Continuation	07/265,829	10/31/88

**Foreign Priority Information**

Country::	Application number::	Filing Date::
-----------	----------------------	---------------

**Assignee Information**

Assignee Name::	The Regents of the University of California
Street of mailing address::	1111 Franklin Street, 12th Floor
City of mailing address::	Oakland
State or Province of mailing address::	CA
Country of mailing address::	US
Postal or Zip Code of mailing address::	94607-5200



<b>POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM</b>	<b>Application Number</b>	10/028,726
	<b>Filing Date</b>	December 21, 2001
	<b>First Named Inventor</b>	LEE, et al.
	<b>Title</b>	PRODUCTS AND METHODS FOR CONTROLLING THE SUPPRESSION OF THE NEOPLASTIC PHENOTYPE
	<b>Art Unit</b>	1632
	<b>Examiner Name</b>	Wilson, Michael
	<b>Attorney Docket Number</b>	17726A-000420US

I hereby appoint:

☒ Practitioners associated with the Customer Number **20350**

**OR**

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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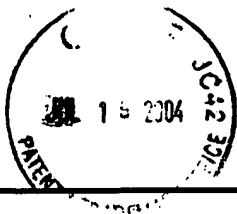
☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

<b>SIGNATURE of Applicant or Assignee of Record</b>			
Name	Patricia Anderson Cotton, Director		
Signature	<i>Patricia Anderson Cotton</i>		
Date	6-11-04	Telephone	510-587-6000

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 1 forms are submitted.



**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: The Regents of the University of CaliforniaApplication No./Patent No.: 10/028,726Filed/Issue Date: December 21, 2001Entitled: Products And Methods For Controlling The Suppression Of The Neoplastic PhenotypeThe Regents of the University of California, a University

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To : \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To : \_\_\_\_\_

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- ☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

6-11-04

Date

510-587-6000

Telephone number

Patricia Anderson Cotton

Typed or printed name

Patricia Anderson Cotton

Signature

Director

Title